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Bib Data Sheet

CONFIRMATION NO. 6025

| | | | | |
|---|---|--------------------------------|---|---|
| SERIAL NUMBER 09/894,431 | FILING DATE 06/27/2001 RULE | CLASS 345 | GROUP ART UNIT 2614 | ATTORNEY DOCKET NO. 52126.00017 (Digeo 109.2) |
| APPLICANTS Loc Nguyen, Issaquah, WA; Paul G. Allen, Mercer Island, WA; | | | | |
| ** CONTINUING DATA ***** THIS APPLN CLAIMS BENEFIT OF 60/284,767 04/18/2001 AND A CIP OF 09/703,272 10/31/2000 WHICH CLAIMS BENEFIT OF 60/238,581 10/06/2000 AND A CIP OF 09/703,261 10/31/2000 WHICH CLAIMS BENEFIT OF 60/238,581 10/06/2000 | | | | |
| ** FOREIGN APPLICATIONS ***** | | | | |
| IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 07/24/2001 | | | | |
| Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance | | STATE OR COUNTRY WA | SHEETS DRAWING 5 | TOTAL CLAIMS 32 |
| Verified and Acknowledged Examiner's Signature _____ Initials _____ | | INDEPENDENT CLAIMS 7 | | |
| ADDRESS Arnold M. de Guzman Squire, Sanders & Dempsey L.L.P. 600 Hansen Way Palo Alto, CA 94304-1043 | | | | |
| TITLE On-remote-control email and other service indicator methods, systems, and devices | | | | |
| FILING FEE RECEIVED 1376 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following: | | <input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit | |

2614

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

| | |
|------------------------|----------------------------|
| Application Number | 09/894,431 |
| Filing Date | June 27, 2001 |
| First Named Inventor | Loc Nguyen |
| Group Art Unit | 2614 |
| Examiner Name | not yet known |
| Attorney Docket Number | 10003.001410 (digeo 109.2) |


Total Number of Pages in This Submission

5


ENCLOSURES (check all that apply)

| | | |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input checked="" type="checkbox"/> Version w/ Markings to Show Changes Made <input checked="" type="checkbox"/> Preliminary Amendment (Amendment A) <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <p style="text-align: center;">Return receipt postcard</p> |
| <div style="border: 1px solid black; padding: 5px;">Remarks</div> | | |

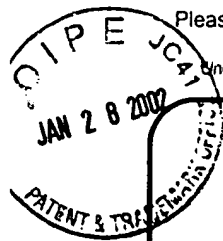
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | Arnold M. deGuzman, Reg. No. 39,955 DEGUZMAN OKAMOTO & BENEDICTO, LLP |
| Signature |  |
| Date | December 28, 2001 |

CERTIFICATE OF MAILING

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|---|---|------|---------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <u>December 28, 2001</u> | | | |
| Typed or printed name | Arnold M. deGuzman | | |
| Signature |  | Date | Dec. 28, 2001 |

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | |
|------------------------|----------------------------|
| Application Number | 09/894,431 |
| Filing Date | June 27, 2001 |
| First Named Inventor | Loc Nguyen |
| Group Art Unit | 2614 |
| Examiner Name | not yet known |
| Attorney Docket Number | 10003.001410 (digeo 109.2) |

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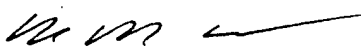
Total Number of Pages in This Submission

9

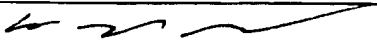
ENCLOSURES (check all that apply)

| | | | | | |
|---|--|---|---------|--|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input checked="" type="checkbox"/> Request for Corrected Filing Receipt <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copy of Filing Receipt with Corrections in Red Ink; Exhibits A & B; Return receipt postcard | | | |
| <table><tr><td>Remarks</td><td rowspan="2">RECEIVED FEB 08 2002 Technology Center 2600</td></tr><tr><td></td></tr></table> | | | Remarks | RECEIVED FEB 08 2002 Technology Center 2600 | |
| Remarks | RECEIVED FEB 08 2002 Technology Center 2600 | | | | |
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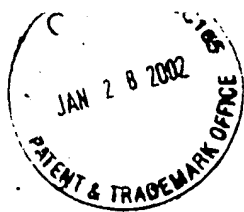
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | Arnold M. deGuzman, Reg. No. 39,955 DEGUZMAN OKAMOTO & BENEDICTO, LLP |
| Signature |  |
| Date | December 28, 2001 |

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| Typed or printed name | Arnold M. deGuzman | | |
| Signature |  | Date | <u>Dec. 28, 2001</u> |

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PATENT

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| | |
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| In Re Application of: Loc Nguyen & Paul G. Allen | Examiner: not yet known |
| Serial No.: 09/894,431 | Art Unit: 2614 |
| Filed: June 27, 2001 | Atty. Docket No.: 10003.001410 (digeo 109.2) |
| Title: ON-REMOTE-CONTROL EMAIL AND OTHER SERVICE INDICATOR METHODS, SYSTEMS, AND DEVICES | |

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REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Enclosed is a copy of the Official Filing Receipt
received from the U.S.P.T.O. for the above application.

The Filing Receipt contains the following error(s):

1. The "Domestic Priority data as claimed by
applicant" is erroneously stated as "THIS APPLICATION IS A
CIP OF 09/703,272 10/31/2000 AND A CIP OF 09/703,261
10/31/2000 WHICH CLAIMS BENEFIT OF 60/284,767 04/18/2001 AND
CLAIMS BENEFIT OF 60/238,581 10/06/2000". The Filing
Receipt should be corrected to indicate the "Domestic
Priority data as claimed by applicant" as "THIS APPLICATION
CLAIMS BENEFIT OF 60/284,767 04/18/2001. THIS APPLICATION
IS A CIP OF 09/703,272 10/31/2000 WHICH CLAIMS BENEFIT OF
60/238,581 10/6/2000 AND IS A CIP OF 09/703,261 10/31/2000
WHICH CLAIMS BENEFIT OF 60/238,581 10/06/2000". The above

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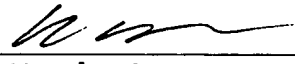
PATENT

data is evidenced by page one (1) of the filed specification (a copy of which is enclosed and marked as EXHIBIT A) and the filed utility patent application transmittal (a copy of which is enclosed and marked as EXHIBIT B).

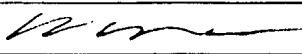
Please issue a corrected Filing Receipt rectifying the above error(s). The requested corrections are indicated in red ink in the enclosed copy of the Filing Receipt.

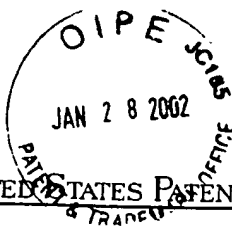
Favorable action is respectfully solicited.

Dated: December 28, 2001 Respectfully submitted,
Loc Nguyen & Paul G. Allen

By: 
Arnold M. de Guzman
Attorney For Applicant(s)
Reg. No. 39,955
DEGUZMAN OKAMOTO & BENEDICTO LLP
P.O. Box 51900
Palo Alto, California 94303
(650) 691-2030
(650) 691-2032 (FAX)

Enclosure(s)

| CERTIFICATE OF MAILING | | | |
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| I hereby certify that this correspondence, including the enclosures identified herein, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10. | | | |
| Signature: |  | | |
| Typed or Printed Name: | Arnold M. de Guzman | Dated: | <u>Dec. 28, 2001</u> |
| Express Mail Mailing Number (optional): | | | |



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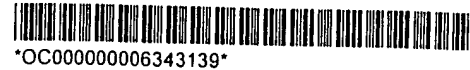
| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|---------------------------------|----------|------------|------------|
| 09/894,431 | 06/27/2001 | 2614 | 1246 | 52126.00017 (Digeo 109.2) | 5 | 32 | 7 |

CONFIRMATION NO. 6025

Arnold M. de Guzman
Squire, Sanders & Dempsey L.L.P.
600 Hansen Way
Palo Alto, CA 94304-1043

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OC00000006343139

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Date Mailed: 07/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Loc Nguyen, Issaquah, WA;
Paul G. Allen, Mercer Island, WA;

Domestic Priority data as claimed by applicant

~~THIS APPLICATION IS A CIP OF 09/703,272 10/31/2000~~
~~AND A CIP OF 09/703,261 10/31/2000~~
~~WHICH CLAIMS BENEFIT OF 60/284,767 04/18/2001~~
~~AND CLAIMS BENEFIT OF 60/238,581 10/06/2000~~

THIS APPLICATION CLAIMS BENEFIT
OF 60/284,767 04/18/2001.

THIS APPLICATION IS A CIP
OF 09/703,272 10/31/2000
WHICH CLAIMS BENEFIT OF
60/238,581 10/06/2000 AND
IS A CIP OF 09/703,261 10/31/2000
WHICH CLAIMS BENEFIT OF
60/238,581 10/06/2000.

Foreign Applications

If Required, Foreign Filing License Granted 07/24/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

On-remote-control email and other service indicator methods, systems, and devices

Preliminary Class
345



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Data entry by : AMARE, TSION

Team : OIPE

Date: 07/26/2001



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
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Any corrections that may need to be done to your Filing Receipt should be directed to:

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EXHIBIT A

Docket No. 52126.00017
Digeo 109.2

ON-REMOTE-CONTROL EMAIL AND OTHER SERVICE INDICATOR
METHODS, SYSTEMS, AND DEVICES

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Inventors: Loc Nguyen and Paul G. Allen

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Cross-Reference To Related Applications

The present application claims priority to U.S.
Provisional Application No. 60/284,767, by common inventors,
Loc Nguyen and Paul G. Allen, filed April 18, 2001, and
entitled "ON-REMOTE-CONTROL EMAIL AND OTHER SERVICE
INDICATOR LED AND SOUND". Application No. 60/284,767 is
fully incorporated herein by reference.

The present application is a continuation-in-part of
and claims the benefit of U.S. Patent Application Serial
No. 09/703,272, entitled "USER INTERFACE FOR PERSONALIZED
ACCESS TO INTERNET-ENABLED TELEVISION," by Paul G. Allen,
Anthony F. Istvan, and Armando P. Stettner, filed October
31, 2000, which claims the benefit of U.S. Provisional
Patent Application Serial No. 60/238,581, entitled " USER
INTERFACE, SYSTEM, AND METHOD FOR PERSONALIZED ACCESS TO
INTERNET-ENABLED TV," by Paul G. Allen, Anthony F. Istvan,
and Armando P. Stettner, filed October 6, 2000.

The present application is a continuation-in-part of
and claims the benefit of U.S. Patent Application Serial



Docket No. 52126.00017
Digeo 109.2

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No. 09/703,261, entitled "SYSTEMS AND METHODS FOR
PERSONALIZED ACCESS TO INTERNET-ENABLED TELEVISION," by
Paul G. Allen, Anthony F. Istvan, Armando P. Stettner,
filed October 31, 2000, which claims the benefit of U.S.

5 Provisional Patent Application Serial No. 60/238,581,

entitled "USER INTERFACE, SYSTEM, AND METHOD FOR
PERSONALIZED ACCESS TO INTERNET-ENABLED TV," by Paul G.

Allen, Anthony F. Istvan, and Armando P. Stettner, filed
October 6, 2000.

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10 Application Nos. 09/703,272, 09/703,261, and
60/238,581 are each fully incorporated herein by reference.

Technical Field

This disclosure relates generally to interactive
15 television (iTV) systems, and more particularly but not
exclusively, to systems, devices, and methods for providing
notification of electronic mail (email) messages, instant
messages, and/or other services/information to a user of an
interactive television system.

20

Background

An interactive television (iTV) differs from a
conventional television in that an interactive television
includes additional information and communication

JAN 28 2002

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EXHIBIT B

PTO/SB/05 (03-01)

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 52126.00017 (Digeo 109.2)

First Inventor Loc Nguyen

Title ON-REMOTE-CONTROL EMAIL AND OTHER SERVICE INSTRUMENTS, METHODS, SYSTEMS, AND DEVICES

Express Mail Label No. EL701364195US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 38]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 2]
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
c. ☒ unsigned
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☒ Power of
(when there is an assignee) Attorney (unsigned)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Assignment (unsigned); General
Authorization/Req.Pet.f/Ext. of Time

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

(1) of prior application No.: 09/703,272

(2) of prior application No.: 09/703,261

Prior application information:

Examiner _____

Group / Art Unit: _____

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

| | | | | | |
|---------|----------------------------------|-----------|--------------|----------|--------------|
| Name | Arnold M. de Guzman | | | | |
| | Squire, Sanders & Dempsey L.L.P. | | | | |
| Address | 600 Hansen Way | | | | |
| City | Palo Alto | State | CA | Zip Code | 94304-1043 |
| Country | USA | Telephone | 650.856.6500 | Fax | 650.843.8777 |

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| Name (Print/Type) | Arnold M. de Guzman | Registration No. (Attorney/Agent) | 39,955 |
| Signature | | Date | June 27, 2001 |

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